



my|CalPERS
Guide to File Readiness
for
Employers

Table of Contents

1. Purpose.....	1
2. Walkthrough of Interface Development Process.....	2
2.1. Using Available Interface Documentation	2
2.2. Overview of Data and Process Changes	3
2.3. Interface Style Options.....	3
2.4. Tips for Interface Developers	3
2.4.1. Introduction	3
2.4.2. XML and XSD Background	4
2.4.3. Development Guidelines	4
2.4.3.1. File Header Information	4
2.4.3.2. Order of Fields.....	5
2.4.3.3. Required Fields	6
2.4.3.4. No Data To Include In A Data Element.....	7
2.4.3.5. SchemaLocation Data Attribute	8
2.4.3.6. Boolean Values	8
2.4.3.7. XSD Sequence	8
2.4.3.8. XSD Max Length Value	9
2.4.4. XML File Guidelines	9
3. Walkthrough of Testing Process	14
3.1. Preparing to Test with CalPERS.....	14
3.1.1. Establishing Connectivity	15
3.1.2. Data Synchronization	16
3.1.3. FTP Encryption/Decryption	17
3.2. Submitting a Test File	17
3.2.1. Secured FTP Testing Process	17
3.2.2. File Upload Testing Process	18
3.3. Correcting Data Errors	21
4. Preparing for Deployment to Production	27
5. How to Get Help.....	28
Appendix A - Overview of Guides to File Readiness	29
Appendix B - Responsibilities by Phase	31

1. PURPOSE

The purpose of this my|CalPERS Guide to File Readiness is to inform CalPERS employers about the steps required to create and test an interface file (where elected) to exchange business data with the new my|CalPERS business system when it goes live. The three types of interface files are: Payroll Contribution, Retirement Enrollment, or Health Enrollment.

This guide describes the interface development and testing processes for employers who intend to report the following data via file to my|CalPERS:

- Payroll contributions, including:
 - Supplement Income Plan (SIP) information
 - Information for the Judges' Retirement Systems (JRS)
- Retirement enrollments, including:
 - Information for the Judges' Retirement Systems (JRS)
- Health enrollments

Some employers will be creating only one interface file (for instance, Health Enrollment) and others will be preparing and testing multiple interface files. While the content herein is applicable to all interface files, the guide calls out, where appropriate, those steps that apply only to a specific interface file. For consistency, examples presented in the guide are from the Payroll Contribution interface file and may not accurately represent data elements from the Retirement or Health Enrollment interface files. The examples are intended to be illustrative of the type and format of the data contained in all interface files.

In addition, some employers may also interact with CalPERS as a direct authorization vendor, a health carrier, a dental carrier, or an association. In order to assist CalPERS' business partners with their interactions, three separate Guides to File Readiness have been developed. If your organization falls into multiple categories, it is recommended that you review each of the appropriate guides. Information regarding all the guides is included in Appendix A, [Overview of Guides to File Readiness](#).

Lastly, a general overview of the responsibilities of CalPERS or employer during each of the my|CalPERS implementation phases is included in Appendix B, [Responsibilities by Phase](#).

2. WALKTHROUGH OF INTERFACE DEVELOPMENT PROCESS

The following sections, 2.1 through 2.4, provide a tutorial for creating interface files for my|CalPERS. The topics within the tutorial include:

- Using Available Interface Documentation
- Overview of Data and Process Changes
- Interface Style Options
- Tips for Interface Developers

2.1. USING AVAILABLE INTERFACE DOCUMENTATION

Each interface can be seen as the data connection between business systems. The technical documentation used to define an extract file's format and the mechanism used to transport that file to another party is referred to as an interface specification. The specifications for the Payroll Contribution, Retirement Enrollment, and Health Enrollment interfaces for my|CalPERS are available in the [Technical Toolkit for Employers](#) in the Public Employer Readiness Team (PERT) area of CalPERS On-Line. Please note that there are separate Retirement and Health Enrollment interface data element definitions for State agency employers in the toolkit. The Payroll Contribution interface file contains the data elements for SIP and the data elements for JRS are contained in both the Payroll Contribution and Retirement Enrollment interface files.

The toolkit is comprised of several documents in a WinZip file that can be easily downloaded and updated periodically. The toolkit is intended to help clarify the application of the interface specifications for employers to facilitate successful creation and test of an interface file. The toolkit documentation includes but is not limited to:

- Data Element Definitions
- XML File Structures
- Sample XML Files
- XSD Schemas
- Validation Rules
- CalPERS ID File Exchange Layout
- FTP Encryption/Decryption Requirements

Please take time to become familiar with all the artifacts located in the toolkit paying special attention to the [Employer's Guide to the Technical Toolkit](#) and the [Data Element Definitions for Employers](#) to understand how the components of the interface specifications fit together and are intended to be used.

2.2. OVERVIEW OF DATA AND PROCESS CHANGES

With my|CalPERS, employers will have the ability to transmit data files via file upload or File Transfer Protocol (FTP). The process to submit files by upload in my|CalPERS will be similar to the file transfer function that exists in the current ACES application. The opportunity for employers to exchange data with CalPERS through FTP is a new option as a result of the my|CalPERS system implementation.

In addition to FTP as a new reporting method, some key data and process changes associated with my|CalPERS deployment include:

- Electronic data reporting only: no tapes, diskettes or paper documents
- Files will be formatted according to Extensible Markup Language (XML)
- Employer responsibility for error correction by
 - Using on-line system screens or
 - Correcting invalid records in native system and submitting a new file
- Files contain new data elements including system generated CalPERS IDs to identify employers and participants
 - The best source for reviewing the new data elements is the [Data Element Definitions](#) documents located in the PERT area of CalPERS On-Line

2.3. INTERFACE STYLE OPTIONS

CalPERS is offering two ways to submit interface files for employer transactions. Both styles below are available for all the interface files: Payroll Contribution, Retirement Enrollment, or Health Enrollment.

- File Upload (HTTPS) – the employer uploads a file through my|CalPERS application functionality. This style requires user interaction with the application to submit the file
- Secured File Transfer Protocol (SFTP) – the employer submits the files using encryption and SFTP. Unlike the Upload process, this style can be fully automated. Additionally, my|CalPERS will provide a response file that indicates errors that can be processed for correction within the employer's system.

See also section 3.1.1, [Establishing Connectivity](#), for more information on the interface style options.

2.4. TIPS FOR INTERFACE DEVELOPERS

2.4.1. INTRODUCTION

This section is included to assist CalPERS employer's technical staff with some of the nuances associated with developing the XML file as specified by the new my|CalPERS system. The my|CalPERS solution incorporates a two-step file validation concept.

The first file validation is referred to as File Level 1 and this Level 1 validation is looking to enforce the XML interface file specification or XML Schema Document (XSD) against the file that is being submitted. The main function of Level 1 validation is to make sure that all required fields are present and the file being submitted is a proper XML file, meaning that start tags and end tags are present, no empty tags are submitted, and maximum length of a data element is enforced.

File Level 2 validation consists of enforcing the defined CalPERS business rules against the data contained in the XML file. Essentially, Level 1 is checking that the file can be consumed by my|CalPERS, and Level 2 is checking the actual data contained in the XML file. This section is going to focus on the Level 1 validation nuances since Level 2 errors are well described by the error messages. For SFTP file submissions, Level 2 errors will be returned through a response file that will identify the errors. These can then be corrected in the employer's own system and the records can be resubmitted. Alternatively, Level 2 errors can be displayed on a user screen within my|CalPERS where they can be corrected directly.

This section is meant to serve as a supplement to XML coding standards and principles that are readily available on the Internet. Information on various XML tools and resources is also available at the links identified in section 2.1, [Using Available Interface Documentation](#), and section 5, [How to Get Help](#), of this document.

2.4.2. XML AND XSD BACKGROUND

CalPERS is in the process of moving all file reporting to an XML format from a flat fixed length text format. This move to XML was decided in large part to allow data transfer or document exchange within or across organizations with different platforms. In order to establish a "jumping off" point, XSD's must also be discussed. XSD defines syntax and shows how elements and attributes in an XML file should be contained.

Some of the XSD's that CalPERS is using for the my|CalPERS solution have some nuances and idiosyncrasies that this guide will clarify and discuss so as to give the developer a better understanding of how to interact with CalPERS' new system. Those nuances are discussed in the next section, 2.4.3, [Development Guidelines](#).

It is the employer's responsibility to prepare a compliant file according to CalPERS specification. XML format allows files to be validated against the XSD schemas that the files are designed to comply with. Tools are available to assist employers with file validation against the XSD schemas provided in CalPERS specifications.

2.4.3. DEVELOPMENT GUIDELINES

This section of the guide will review some of the more common problem areas and common questions when developing a CalPERS-defined XML file as well as what may be the best way to handle those problems.

2.4.3.1. FILE HEADER INFORMATION

Every file has an element defined as Interface File Type. The Interface File Type is specific to the internal CalPERS-defined interface specifications. Table 1 shows the Interface File Type values related to each file that is being submitted or received. These Interface Number values

should be used for the Interface File Type for inbound files. The Payroll Contribution example below shows the data element and the value when submitting an XML file for processing:

<cuns:InterfaceTypeId>10006</cuns:InterfaceTypeId>

Table 1- Interface File Type

INTERFACE	INTERFACE DESCRIPTION	INTERFACE NUMBER
Payroll Contribution	Inbound file from employer used to process payroll contribution transactions	10006
Employer Payroll Response	Outbound file from CalPERS used by employer to correct payroll errors	10049
Retirement Enrollment	Inbound file from employer used to process retirement enrollment transactions	00007
Health Enrollment	Inbound file from employer used to process health enrollment transactions	50031
Health Enrollment Response	Outbound file from CalPERS used by employer to correct health enrollment errors	50068

2.4.3.2. ORDER OF FIELDS

There is a set order (hierarchy) for the XML contained in the interface files. The data elements must be represented in a certain order. The hierarchy for each interface file is defined in its associated XSD; therefore, the XSD is the driving set of specifications when developing the XML file. There are two sets of examples below demonstrating the hierarchy of data. The first example shows the correct order in which the data elements should be represented. The data element in bold in the second example is not in the correct order. This would cause the XML file to be rejected because the data elements are not in the correct order as per the XSD.

Example 1 (Payroll Contribution) – data elements in correct order

```
<n1:ParticipantInfo>
  <n1:ParticipantsCalPERSId>001234567</n1:ParticipantsCalPERSId>
  <n1:FirstName>James</n1:FirstName>
  <n1:LastName>Smith</n1:LastName>
</n1:ParticipantInfo>
```

Example 2 (Payroll Contribution) – data elements not in correct order

```
<n1:ParticipantInfo>
  <n1:FirstName>James</n1:FirstName>
  <n1:LastName>Smith</n1:LastName>
  <n1:ParticipantsCalPERSId>001234567</n1:ParticipantsCalPERSId>
</n1:ParticipantInfo>
```

Also note that there is a “Start Tag” and an “End Tag” for each data element. The start tag always opens with a less than sign “<” whereas the end tag always starts with a less than sign followed by a slash “</”. This is shown in the above example.

2.4.3.3. REQUIRED FIELDS

If a field is defined as “Required” and its parent element is also required (or it has no parent element), then it must always be present in the file. Otherwise the file will fail Level 1 validation.

For example, in the Payroll Contribution file, the data elements <ReportPeriodBeginDate> and <ReportPeriodEndDate> are required fields and must always be included in the XML file:

```
<n1:ReportPeriodBeginDate>2009-05-01</n1:ReportPeriodBeginDate>
```

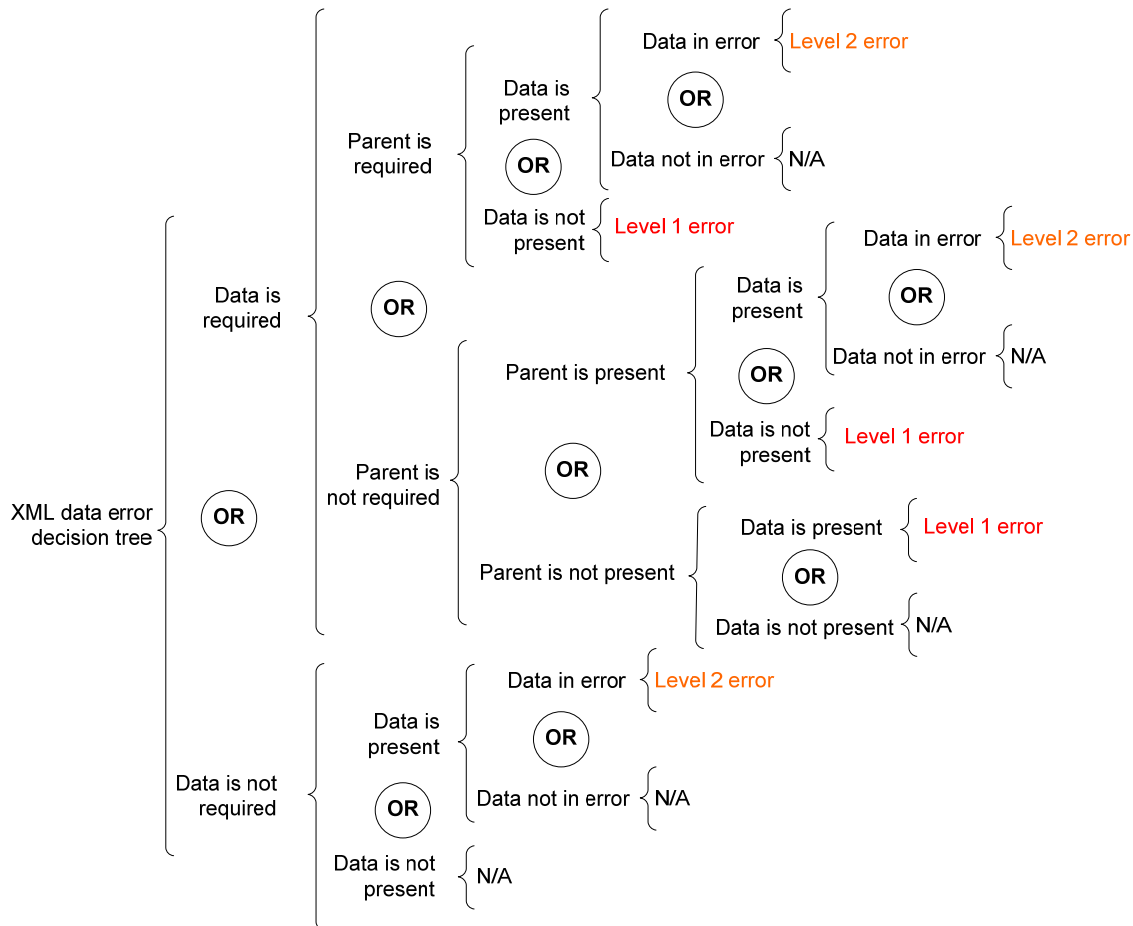
```
<n1:ReportPeriodEndDate>2009-05-31</n1:ReportPeriodEndDate>
```

If a field is defined as “Required” and its parent element is optional, then it must be present if its parent element is used, otherwise the file will fail Level 1 validation. For example (in the Payroll Contribution file), the following fragment of the XSD indicates that the element <SupplementalIncomePlanDetails> is optional (minOccurs = “0”) but the child elements <SIPPlanID>, <SIPCount>, and <SIPTotal> are required.

```
<xs:element name="SupplementalIncomePlanDetails" minOccurs="0" maxOccurs="unbounded">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="SIPPlanID">
        <xs:simpleType>
          <xs:restriction base="xs:string">
            <xs:maxLength value="10"/>
            <xs:pattern value="[0-9]*/>
          </xs:restriction>
        </xs:simpleType>
      </xs:element>
      <xs:element name="SIPCount" type="xs:int"/>
      <xs:element name="SIPTotal" type="cuns:MoneyType"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

This means that if the element “SupplementalIncomePlanDetails” is not used, then the child elements should not be used either. But if the element “SupplementalIncomePlanDetails” is used, then all three child elements must be present. If “SupplementalIncomePlanDetails” is used and, for instance, “SIPPlanID” is not present, a Level 1 error will occur. The following diagram provides a graphical representation of the scenarios under which Level 1 and Level 2 errors may be generated.

The following diagram depicts how Level 1 and Level 2 errors will be generated in my|CalPERS when required fields are missing in the XML files.



2.4.3.4. NO DATA TO INCLUDE IN A DATA ELEMENT

When using XML, if a data element is not going to contain data and it is not a required or conditional field, then the tags must be left out. If a tag is included and there is no data for the data element, then the XML file will fail Level 1 Validation. Using the Payroll Contribution XSD as an example, if an individual does not have a middle name, the <MiddleName> data element tags are not to be included. The example below shows how an individual without a middle name would be reported in the XML file. From this example it can be seen that no Middle Name data element exists.

```

<n1:ParticipantInfo>
  <n1:ParticipantsCalPERSId>001234567</n1:ParticipantsCalPERSId>
  <n1:FirstName>James</n1:FirstName>
  <n1:LastName>Smith</n1:LastName>
</n1:ParticipantInfo>
  
```

2.4.3.5. SCHEMALOCATION DATA ATTRIBUTE

The XML schema language defines the SchemaLocation attribute to provide information to the software that processes the XML file as to where the XSD may be found. This attribute uses pairs of values where the first URL reference in each pair is a namespace name, and the second is the location of a schema that describes that namespace. Since the SchemaLocation attribute is a location pointer, it is important to make sure that a space is entered between the first and second namespace. The following Payroll Contribution example shows a portion of the XML file with the SchemaLocation attribute. You can see from the samples below that a space is inserted between the first namespace -

http://calpers.ca.gov/PSR/PayrollRetirementV1

and the second namespace -

PayrollRetirementV1.xsd

Example of SchemaLocation Attribute:

<soap:Body>

<n1: RetirementAndPayrollTransactions

xsi:schemaLocation="http://calpers.ca.gov/PSR/PayrollRetirementV1 PayrollRetirementV1.xsd"

2.4.3.6. BOOLEAN VALUES

Boolean data elements in all CalPERS XML files should be specified in lower case. XML is case sensitive; therefore, it is very important to set the data elements to the proper case.

For example, the data element <TestReport>, which indicates whether or not a Payroll Contribution file is a test file, should contain the value of "true" if it is a test file.

<n1:TestReport>true</n1:TestReport>

2.4.3.7. XSD SEQUENCE

The XSD defines the sequence in which data elements are to be included in the XML file. When an <xs:sequence> entry is shown in the XSD, the XSD will then follow with the order in which the elements need to appear in the XML file. If the order is changed, the XML file will fail Level 1 validation. In the Payroll Contribution example below if the order is changed, for example, and <RecordPeriodEndDate> comes before <RecordPeriodBeginDate>, the file will fail validation.

<xs:sequence>

<xs:element name="RecordPeriodBeginDate" type="cuns:LocalDateType" />

<xs:element name="RecordPeriodEndDate" type="cuns:LocalDateType" />

<xs:element name="PayrollRecordMemo"

type="cuns:UniqueTransactionIdentifierType" minOccurs="0" />

</xs:sequence>

2.4.3.8. XSD MAX LENGTH VALUE

The Max Length value specification defines the maximum number of characters or digits that are allowed in the data field. This Max Length definition does not mean that the Data Element must always be the specified length but rather that a value can not be more than the defined maximum length. If the XML Schema specifies a Max Length of three (3) but the code value(s) are two characters in length, then the two character value without any padding should be used. For example, if a Data Element “MaxLengthExample” is specified as having a Maximum Length of 3 but a valid code value for this element is "AA" this would be represented in the XML File as:

```
<cuns:MaxLengthExample>AA</cuns:MaxLengthExample>
```

There are some data elements that must always be a specified length. For example, the SSN-type data elements in the XSDs must always have a length of nine characters. This is indicated by the xs:length specification in the Common Utilities XSD:

```
<xs:simpleType name="SSNType">
```

```
<xs:restriction base="xs:string">
```

```
<xs:length value="9"/>
```

Since some SSNs have leading zeroes, when this value is added to the XML file, it should contain the leading zeroes.

```
<cuns:SSN>001234567</cuns:SSN>
```

Because the SSN must always be a nine digit value, this value may be stored as a string in the source system or, if stored as a numeric value, should always be zero padded to ensure that it will be nine digits in length. In the example above, the SSN would be stored as “001234567” or there should be logic in place to take the numeric value of 1234567 and pad it with zeros to become the nine digit length.

2.4.4. XML FILE GUIDELINES

In XML, a well-formed file must conform to the following rules, among others:

- **XML Files must have a Root Element**

XML files must contain one element that is the parent of all other elements. This element is called the root element.

```
<root>
  <child>
    <subchild>.....</subchild>
  </child>
</root>
```

Example

```
<n1:Participant>
  <n1:ParticipantInfo>
    <n1:ParticipantsCalPERSId>1111219789</n1:ParticipantsCalPERSId>
    <n1:FirstName>Lawrence</n1:FirstName>
    <n1:MiddleName>Trace</n1:MiddleName>
    <n1:LastName>Fermin</n1:LastName>
  </n1:ParticipantInfo>
```

In the example above <n1:Participant> is the root element, <n1:ParticipantInfo> is a child element while <n1:ParticipantsCalPERSId> is a sub child element.

- **All XML Elements must have a Closing Tag**

In XML, it is illegal to omit the closing tag. All elements must have a closing tag:

```
<p>This is a paragraph</p>
```

Although in XML, empty elements may be marked with an empty-element (self-closing) tag (such as <Gender/>), in my|CalPERS, empty, or null, data elements should be removed since null values are not processed. Only data elements with values should be included in the files.

- **XML Tags are case sensitive**

XML elements are defined using XML tags. Tags are case sensitive. With XML, the tag <EmployerCalPERSId> is different from the tag <EmployercalPERSId>.

Opening and closing tags must be written with the same case:

```
<BirthDate>1982-01-12</BirthDate> Correct!
```

```
<BirthDate>1982-01-12</Birthdate> Incorrect!
```

Note: "Opening and closing tags" are often referred to as "Start and end tags." Use whatever is preferred. It is exactly the same thing.

- **XML Elements must be properly nested**

Tags may be nested but must not overlap. Each non-root element must be completely contained in another element. In XML, all elements must be properly nested within each other:

```
<ParticipantInfoType>
  <ParticipantsCalPERSId>0001234567</ParticipantsCalPERSId>
  <FirstName>John</FirstName>
  <LastName>Doe</LastName>
</ParticipantInfoType>
```

In the example above, properly nested simply means that since the <FirstName> element is opened inside the <ParticipantInfoType> element, it must be closed inside the <ParticipantInfoType> element.

```
<CommunicationInfoType>
  <Phone>HOM</Phone>
</CommunicationInfoType>
```

In the example above, properly nested simply means that since the <Phone> element is opened inside the <CommunicationInfoType> element, it must be closed inside the <CommunicationInfoType> element.

- **XML Attribute Values Must be Quoted**

XML elements can have attributes in name/value pairs just like in HTML.

In XML the attribute value must always be quoted. The first example below is correct. The second is incorrect:

Example #1

```
<note date="12/11/2007">
  <to>Tove</to>
  <from>Jani</from>
</note>
```

Example #2

```
<note date=12/11/2007>
  <to>Tove</to>
  <from>Jani</from>
</note>
```

The error in the second example is that the date attribute in the note element is not quoted.

- **Entity References**

Some characters have a special meaning in XML. If a character like "<" is placed inside an XML element, it will generate an error because the parser interprets it as the start of a new element; this will generate an XML error:

```
<message>if salary < 1000 then</message>
```

To avoid this error, replace the "<" character with an entity reference:

```
<message>if salary &lt; 1000 then</message>
```

There are 5 predefined entity references in XML:

1. <
<
less than
2. >
>
greater than
3. &
&
ampersand
4. '
'
apostrophe
5. "
"
quotation mark

Note: Only the characters "<" and "&" are strictly illegal in XML. The greater than character is legal, but it is a good habit to replace it.

- **All attribute values are quoted with either single (') or double (") quotes.**

Single quotes close a single quote, and double quotes close a double quote. To include a double quote inside an attribute value that is double quoted, or a single quote inside an attribute value that is single quoted, escape the inner quote mark using entity references.

- **Comments in XML**

The syntax for writing comments in XML

```
<!-- This is a comment -->
```

- **Never use the two dashes (--) anywhere but at the beginning and end of your comments.**
- **White-space is preserved in XML**

With XML, the white space in a file is not truncated.

- **Naked ampersand (should be represented as &#38;)**
- **Sequence]]> not allowed in content**

3. WALKTHROUGH OF TESTING PROCESS

The following sections, 3.1 through 3.3, provide a tutorial for various interactions with CalPERS or to prepare for actions required when CalPERS new system is launched. The topics within the tutorial include:

- Preparing to Test with CalPERS
- Submitting a Test File
- Correcting Data Errors

3.1. PREPARING TO TEST WITH CALPERS

After internal development and testing are complete, employers will be able to test their XML files against the my|CalPERS system. The following steps apply:

- Ensure connectivity is proven (see section 3.1.1, [Establishing Connectivity](#))
- Refer to the CalPERS system test data date (which will be provided by CalPERS prior to testing) to know what state of data CalPERS is using in the test environment
 - For testing purposes CalPERS will use a snapshot of converted data as of a specific date, which is referred to as the test data date. A few weeks prior to beginning testing, employers will be provided the test data date to use. The data in the employer test file should correspond to the test data date.
- Download the seed data, which contains the new CalPERS IDs, from ACES (see section 3.1.2, [Data Synchronization](#)). Use the seed data to build a test file, updating the employer systems as needed.
- Prepare the data for any tests the employer wants to attempt
 - For example, in the Payroll Contribution interface file, select the test cases that the organization wants to run. A full pay period file would be adequate, but each employer may have other specific transaction types they prefer to test. Examples include: retroactive salary adjustment, service credit purchase records, special compensation, or other unique transactions.
- Generate the output file for CalPERS. Ensure that the correct values from the seed data are present in the file
- [Register](#) your System Access Administrator (SAA) in my|CalPERS
 - The SAA identified for your organization will be able to log in to my|CalPERS on the first day of the file readiness testing period.
 - An employer's my|CalPERS SAA is a key point of contact accountable for providing my|CalPERS access to any additional contacts (users). This involves utilizing system administrator pages in my|CalPERS to associate predefined access roles to each user

and assign the users unique usernames and passwords. In addition, this individual will have the responsibility to reset a user's password, lock a user's access rights to the system, and change a user's system access role(s).

- The data in my|CalPERS test or production environments is confidential and should be treated accordingly. Employers' security practices, policies, and procedures should apply and be considered when designating a SAA or assigning users access privileges to my|CalPERS.
- Submit the test file and coordinate, if required, to obtain assistance (see section 3.2, [Submitting a Test File](#) for more information)

During file readiness testing, the my|CalPERS data will be refreshed on a set schedule. The Payroll Contribution interface file allows the file to be submitted with a Boolean value of "true" or "false" for the data element "TestReport." An employer submitting an XML file will be able to process their Payroll Contribution file against the my|CalPERS system without actually posting the results to the database by using the value of "true" for this data element. It is highly recommended that the Boolean data element "TestReport" be set to "true" to prevent the data from being updated in my|CalPERS until such a time when the updated data will be refreshed per the CalPERS schedule in case changes by employers need to be tested again. Once the employer feels comfortable posting the Payroll Contribution file to my|CalPERS, the "TestReport" data element may be set to "false" so all the transactions on the Payroll Contribution file will post to the database.

<n1:Report>

<n1:ReportPeriodBeginDate>2009-05-01</n1:ReportPeriodBeginDate>

<n1:ReportPeriodEndDate>2009-05-31</n1:ReportPeriodEndDate>

<n1:ProgramType>CPE</n1:ProgramType>

<n1:TestReport>true</n1:TestReport>

<n1:ReportType>REG</n1:ReportType>

3.1.1. ESTABLISHING CONNECTIVITY

Employers exchanging files will need at least one form of connectivity with CalPERS. The plan for the initial deployment of my|CalPERS incorporates the availability of doing online transactions as well as two forms of file-based exchanges. The two file-based exchange styles include:

- HTTPS (File Upload reporters) – the employer logs onto the my|CalPERS application and navigates to a page where a file can be uploaded from the employer's computer to the application. The following is required for HTTPS:
 - Connectivity requires only that a role be assigned by the employer SAA. The application is accessed using the username and password combination provided by the SAA.
- SFTP (for Secured FTP reporters) – the employer has elected to submit files using published CalPERS FTP procedures. The files can be submitted through either an automated or manually initiated process. Response files will be provided through the same

mechanism although Partners may elect to use the online capability to correct errors if this feature is available to them. The following is required for SFTP:

- Connectivity requires CalPERS to establish folders and to assign the employer account information to access the folders to drop off and pick up files
- Connectivity requires exchange of public keys between CalPERS and employer to coordinate encryption and decryption information (see section 3.1.3, [FTP Encryption/Decryption](#))
- Connectivity requires a test of a employer file to prove that the procedures in the published encryption/decryption document have been followed for file naming, file renaming upon pickup, and using a semaphore file to indicate when a file has been saved satisfactorily and is ready for pickup
- Connectivity requires coordination of error processing notification information
- Connectivity is required for both the test and production environments

Employers electing SFTP style can expect contact from a CalPERS responsible lead person to coordinate appropriate information exchange and activity. Due to the timeframe required for establishing and testing connectivity, employers must elect the SFTP style for submitting data before 60 days of my|CalPERS scheduled Go Live.

3.1.2. DATA SYNCHRONIZATION

This section describes how CalPERS will provide synchronization data (also referred to as seed data) to employers for file readiness testing and prior to deployment to production.

When designing the new CalPERS system, it was apparent that new data was required to perform CalPERS legislated role as well as to protect member information. The new data elements are defined in design documentation and will be required for file exchanges with CalPERS. CalPERS will make these data elements available to employers for file readiness testing purposes and again prior to final production deployment.

The CalPERS ID is the new unique identifier given to every current active and non-active CalPERS member in our database. Going forward, this ID will be used on all Payroll Contribution files and correspondence to identify these members instead of SSN. As we get closer to the my|CalPERS Go Live date, the real, permanent CalPERS IDs will be provided in this same fashion.

The interface files do require synchronizing data with CalPERS. The file layout for the synchronization data file is defined in the [CalPERS ID File Exchange Layout](#) document located in the [Technical Toolkit for Employers](#) in the PERT area of CalPERS On-Line.

CalPERS understands that the data extracted from our systems may not exactly match the current CalPERS member population you have in your database. This may be because we have members identified as active that left your agency, but who were never separated from CalPERS membership. Or we may have members who were reported as taking a leave of absence, and their status was never updated with CalPERS. If you are a school employer, you may find that the district CalPERS shows for enrollment is incorrect. Several factors may have led to these discrepancies, and we encourage all employers to reconcile payroll data to

enrollment records and report back to CalPERS any discrepancies (see section 5, [How to Get Help](#), of this document). We can then update our records prior to conversion and reduce any errors that would arise post implementation in the new my|CalPERS.

3.1.3. FTP ENCRYPTION/DECRYPTION

Information regarding FTP encryption/decryption for CalPERS is located in the [Technical Toolkit for Employers](#). This supplementary document describes the Encryption Decryption Service, which is designed to allow an external entity (such as an employer) to interact with CalPERS using encrypted data files. The service allows both inbound and outbound transfer of files using standard encryption techniques. This document outlines the requirements for an external partner to utilize this service.

3.2. SUBMITTING A TEST FILE

The following narrative will help those submitting Payroll Contribution, Retirement Enrollment, or Health Enrollment data by file. The two file-based methods for submitting data to my|CalPERS are:

- Using Secured FTP
 - Normally is an automated or on-demand report that is electronically transmitted to CalPERS for processing
 - A system response will indicate file level failure as well as errors by record in a response file. File level errors will also trigger an email notification to the employer's system contact documented in the organization contact information area.
 - A user may come online to view the success or failure of the file as well and perform other online functions as described for File Upload if desired
- File Upload through the my|CalPERS application
 - Requires a user to log on to the my|CalPERS application, navigate to the reporting page, select the upload function, and upload a file
 - Success or failure of files can be verified through the user interface. Successful files may be retained in preprocessing tables to allow error correction or be directly committed to the database if errors do not exist.
 - Allows for downloading information that is in the preprocessing area to facilitate corrections in source systems

3.2.1. SECURED FTP TESTING PROCESS

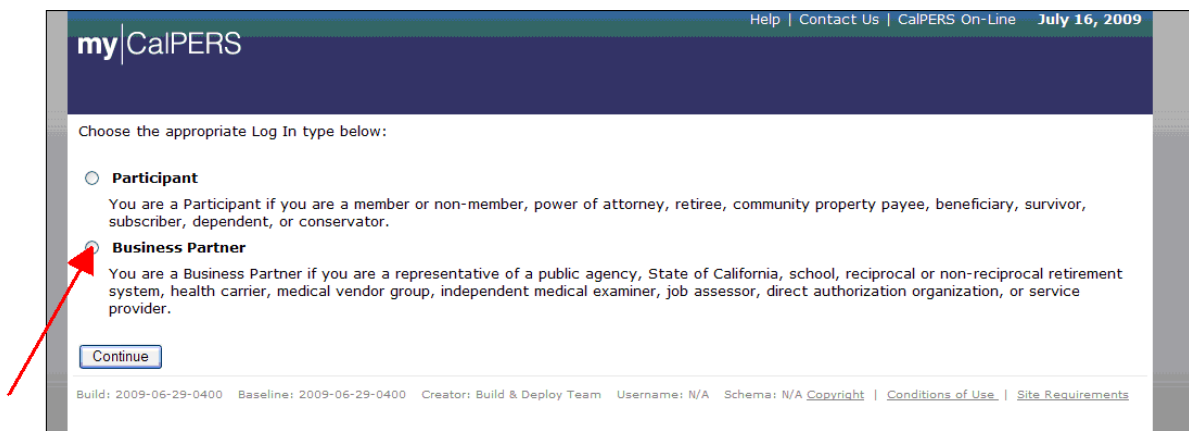
Employers electing to submit data using the Secured FTP method will use the process created when setting up the SFTP connectivity with CalPERS as described in section 3.1.1, [Establishing Connectivity](#), to access the file readiness testing environment. Once the file has been submitted and response file has been provided, the employer will be able to access the error correction screens outlined in section 3.3, [Correcting Data Errors](#).

3.2.2. FILE UPLOAD TESTING PROCESS ¹

Employers entering my|CalPERS to upload interface files for processing will use some or all of the following screens to navigate the file submission process. Screen flow steps 1 through 9 are for all interface files: Payroll Contribution, Retirement Enrollment, and Health Enrollment. Note that prior to following this process, the SAA will have to register with my|CalPERS.

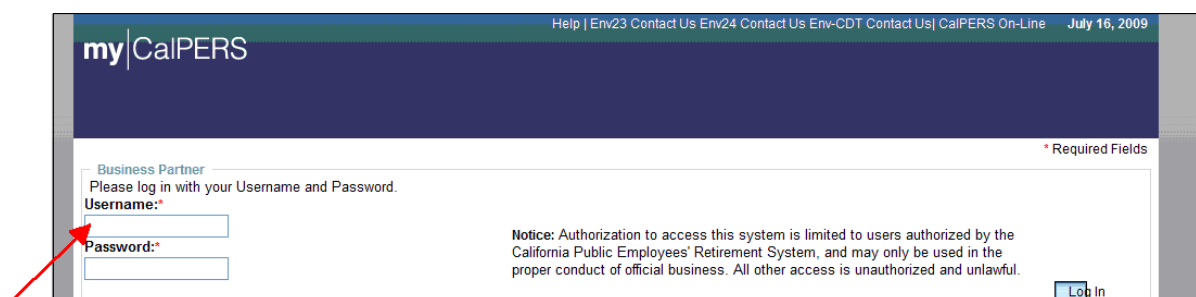
1. Log In - Through the Internet, connect to the file readiness testing environment. The URL will be distributed to the SAA a week or two before employer file readiness testing begins via email along with the system access administrator registration code.

2. Select Log In Type - Select the Business Partner radio button and select Continue.



The screenshot shows the my|CalPERS login interface. At the top, there is a header with 'my|CalPERS' and navigation links: 'Help | Contact Us | CalPERS On-Line' and the date 'July 16, 2009'. Below the header, the text 'Choose the appropriate Log In type below:' is displayed. There are two radio button options: 'Participant' and 'Business Partner'. The 'Business Partner' option is selected, indicated by a red arrow pointing to its radio button. Below each option is a descriptive paragraph. At the bottom of the selection area is a 'Continue' button. The footer contains technical information: 'Build: 2009-06-29-0400 Baseline: 2009-06-29-0400 Creator: Build & Deploy Team Username: N/A Schema: N/A Copyright | Conditions of Use | Site Requirements'.


3. Log In to my|CalPERS – Log in using the user name and password provided by the Employer's SAA.



The screenshot shows the my|CalPERS login interface for a Business Partner. The header is the same as the previous screenshot. Below the header, the text 'Business Partner' is displayed. Below that is the instruction 'Please log in with your Username and Password.' followed by two input fields: 'Username:*' and 'Password:*'. A red arrow points to the 'Username' field. To the right of the input fields is a 'Log In' button. A notice is displayed on the right side of the screen: 'Notice: Authorization to access this system is limited to users authorized by the California Public Employees' Retirement System, and may only be used in the proper conduct of official business. All other access is unauthorized and unlawful.' A '* Required Fields' label is also present.

¹ Screenshots contained herein are subject to change.

4. Confirmation of Official Business – Accept the condition that the user is accessing the system for official business. Please note that the data within my|CalPERS is confidential and should be treated accordingly.



Welcome Jason | [Help](#) | [Contact Us](#) | [CalPERS On-Line AT-Log Out](#) | [ST-Log Out](#) | [CDT-Log Out](#) | **June 09, 2009**

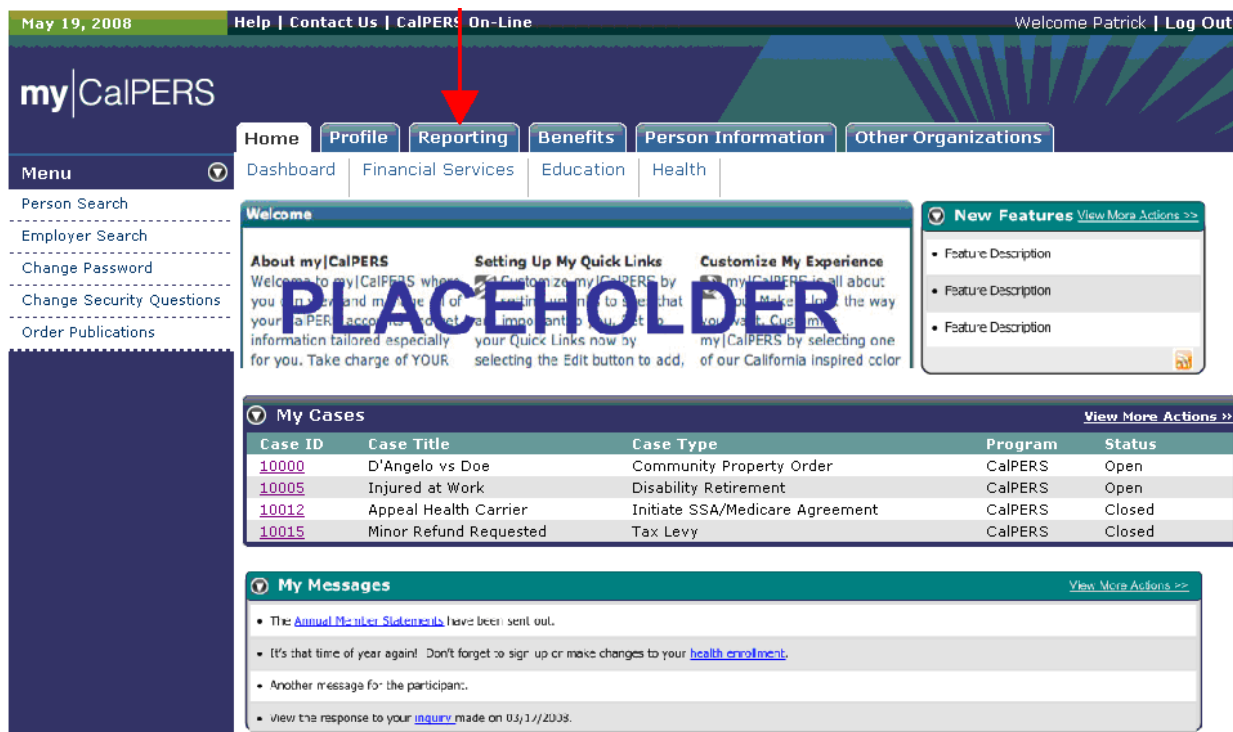
my|CalPERS

Conditions of Use for Business Partners (Employers)

By accessing this application you acknowledge that all information accessible to you will be used only to assist you in conducting official business with CalPERS.

Build: 2009-06-08-0835 | Baseline: 2009-06-08-0835 | Creator: Build & Deploy Team | Username: JThompson | Schema: N/A | [Copyright](#) | [Conditions of Use](#) | [Site Requirements](#)

5. Employer Home – The user will be brought to a page where employer detailed information will be available. The user will select the Reporting tab.



May 19, 2008 | [Help](#) | [Contact Us](#) | [CalPERS On-Line](#) | Welcome Patrick | [Log Out](#)

my|CalPERS

Home | **Profile** | **Reporting** | **Benefits** | **Person Information** | **Other Organizations**

Menu ▼

- Person Search
- Employer Search
- Change Password
- Change Security Questions
- Order Publications

Welcome

About my|CalPERS
Welcome to my|CalPERS where you can view and manage all of your CalPERS accounts and related information tailored especially for you. Take charge of YOUR

Setting Up My Quick Links
Customize my|CalPERS by selecting the Edit button to add, delete or rearrange your Quick Links now by selecting the Edit button to add,

Customize My Experience
my|CalPERS is all about: Make the way you work easier by customizing my|CalPERS by selecting one of our California inspired color

New Features [View More Actions >>](#)

- Feature Description
- Feature Description
- Feature Description

My Cases [View More Actions >>](#)

Case ID	Case Title	Case Type	Program	Status
10000	D'Angelo vs Doe	Community Property Order	CalPERS	Open
10005	Injured at Work	Disability Retirement	CalPERS	Open
10012	Appeal Health Carrier	Initiate SSA/Medicare Agreement	CalPERS	Closed
10015	Minor Refund Requested	Tax Levy	CalPERS	Closed

My Messages [View More Actions >>](#)

- The [Annual Member Statements](#) have been sent out.
- It's that time of year again! Don't forget to sign up or make changes to your [health enrollment](#).
- Another message for the participant.
- view the response to your [inquiry](#) made on 05/17/2008.

6. Reporting – If submitting a file by File Upload method, the user will select the dropdown list labeled as Method, select Upload File value, and then select Continue.

Welcome Brad | Help | Contact Us | CalPERS On-Line AT-Log Out | ST-Log Out | CDT-Log Out | Log out June 20, 2009

my|CalPERS

Home Profile Reporting Person Information Education

Manage Reports Payroll Schedules

Common Tasks Name: Monterey Park School District CalPERS ID: 7111268269 *Required Fields

Menu

Organization Search

Adjustment Reports

Preprocessing Area

File Upload History

Retirement Contract Summary

Create or Edit Report

Method: * Continue

Work On Existing Payroll Reports View More Actions >>

Program: California Public Employees'

Schedule Name	Earned Period / Adjustment Date	Status	Report Type	Due Date	Submit Date	Trial Report
SCHED_MON_CPE	03/01/2008 - 03/31/2008	Posted	Payroll - Earned Period	04/30/2008	04/27/2008	No
SCHED_MON_CPE	02/01/2008 - 02/29/2008	Posted	Payroll - Earned Period	03/30/2008	03/27/2008	No
SCHED_MON_CPE	01/01/2008 - 01/31/2008	Posted	Payroll - Earned Period	03/01/2008	02/27/2008	No
SCHED_MON_CPE	12/01/2007 - 12/31/2007	Posted	Payroll - Earned Period	01/30/2008	01/27/2008	No
SCHED_MON_CPE	11/01/2007 - 11/30/2007	Posted	Payroll - Earned Period	12/30/2007	12/27/2007	No
SCHED_MON_CPE	10/01/2007 - 10/31/2007	Posted	Payroll - Earned Period	11/30/2007	11/27/2007	No
SCHED_MON_CPE	09/01/2007 - 09/30/2007	Posted	Payroll - Earned Period	10/30/2007	10/27/2007	No
SCHED_MON_CPE	08/01/2007 - 08/31/2007	Posted	Payroll - Earned Period	09/30/2007	09/27/2007	No

Direct Authorization Incoming Reports View More Actions >>

Submitter Name	Original Delivery Method	Delivery Date	Business Month	Number of Records Submitted	Number of Records Confirmed
No results found.					

Build: 2009-06-20-0400 Baseline: 2009-06-20-0400 Creator: Build & Deploy Team of Use | Site Requirements Username: BClark Schema: N/A Copyright | Conditions

7. Upload a File - The system will provide a window that will allow the user to browse to their file for upload. Once the file is selected, click Upload File to upload the file. The example below is for a Payroll Contribution file, but the enrollment files would be similar.

Welcome Delmar | Help | Contact Us | CalPERS On-Line | Log out July 16, 2009

my|CalPERS

Home Profile Reporting Person Information Education

Manage Reports Payroll Schedules

Common Tasks Name: Merced Fire Department CalPERS ID: 1711129469 *Required Fields

Menu

Organization Search

Adjustment Reports

Preprocessing Area

File Upload History

Retirement Contract Summary

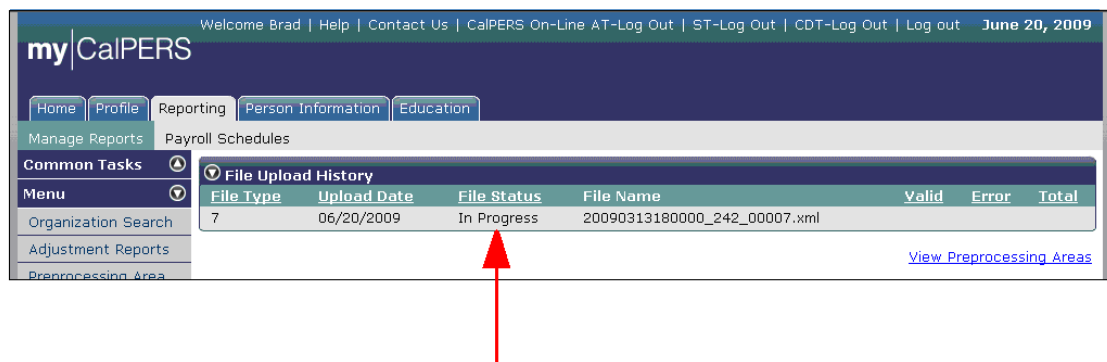
Upload File

Use the **Browse** or **Upload File** buttons to upload a data file:

Path: *

Build: 2009-06-29-0400 Baseline: 2009-06-29-0400 Creator: Build & Deploy Team of Use | Site Requirements Username: bdelmarri Schema: N/A Copyright | Conditions

8. During the Upload – Once the file is uploading the screen should indicate that the upload is in progress. The example below is for a Payroll Contribution file, but the enrollment files would be similar.

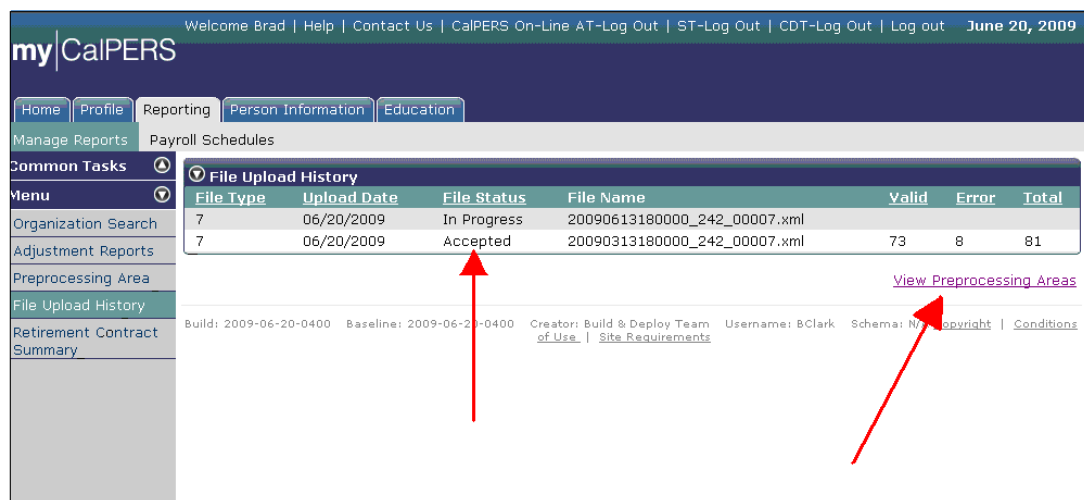


The screenshot shows the myCalPERS interface. The top navigation bar includes links like 'Welcome Brad', 'Help', 'Contact Us', and 'Log out'. The date is 'June 20, 2009'. The left sidebar has a 'Common Tasks' menu with options like 'Organization Search' and 'Adjustment Reports'. The main content area is titled 'File Upload History' and contains a table with the following data:

File Type	Upload Date	File Status	File Name	Valid	Error	Total
7	06/20/2009	In Progress	20090313180000_242_00007.xml			

A red arrow points to the 'In Progress' status in the 'File Status' column. A link 'View Preprocessing Areas' is visible at the bottom right of the table.

9. Verification of an Accepted File – After the upload is complete, the File Upload History will display the status of Accepted and indicate the number of records that were validated and the count of those that were found to have errors. The user can then select the View Preprocessing Areas link to access the results of an accepted file. Again, this example is from a Payroll Contribution file.



The screenshot shows the myCalPERS interface with the 'File Upload History' table updated. The table now has two rows:

File Type	Upload Date	File Status	File Name	Valid	Error	Total
7	06/20/2009	In Progress	20090613180000_242_00007.xml			
7	06/20/2009	Accepted	20090313180000_242_00007.xml	73	8	81

A red arrow points to the 'Accepted' status in the 'File Status' column of the second row. Another red arrow points to the 'View Preprocessing Areas' link at the bottom right of the table. Below the table, there is a footer section with build and baseline information.

3.3. CORRECTING DATA ERRORS

After an interface file has been submitted into my|CalPERS, the screen flow will continue so that users will be able to correct data errors. Screen flow steps 10-13 below depict the process for the Payroll Contribution interface file.

Should an organization submit a file and get data errors reported, they will need to determine why the error was generated. In the current CalPERS systems, some data edits were disabled

and there are new business rules for the Payroll Contribution, Retirement Enrollment, and Health Enrollment data elements and interface files. Validation documents which review the complete set of validation rules for each interface file are included in the Technical Toolkit at the links identified in section 2.1, [Using Available Interface Documentation](#), and section 5, [How to Get Help](#).

10. Preprocessing Area – If there are errors to be corrected, select the appropriate link (for Payroll Reporting, Retirement Enrollment, or Health Enrollment) to access the Manage Reports page.

Welcome Brad | Help | Contact Us | CalPERS On-Line AT-Log Out | ST-Log Out | CDT-Log Out | Log out June 20, 2009

my|CalPERS

Home Profile Reporting Person Information Education

Manage Reports Payroll Schedules

Common Tasks

Menu

- Organization Search
- Adjustment Reports
- Preprocessing Area
- File Upload History
- Retirement Contract Summary

Preprocessing Area

Preprocessed Data	Valid	Error	Total
Affected Subscriber List	-	-	-
Agency Codes	-	-	-
Agency Merger	-	-	-
Census	-	-	-
Common XML Schema	-	-	-
Direct Authorization	-	-	-
Health Carrier Rate Data	-	-	-
Health Carrier ZIP Code Plan Relationship Data	-	-	-
Health Enrollment	-	-	-
Health Premium Deductions	-	-	-
Health Retiree List	-	-	-
Initial Retirement Enrollment	-	-	-
LTC Address Request	-	-	-
Mailroom inbound	-	-	-
Mailroom outbound	-	-	-
Medical Group Assignment List	-	-	-
Payroll Reporting	-	-	-
Receive Deduction Information	-	-	-
Retiree Update Response	-	-	-
Retirement Enrollment	-	-	-
SCO return file	-	-	-
Supplemental Income Plan	-	-	-
VeriMove Inbound	-	-	-

[Upload Data File](#) [View Upload History](#)

Build: 2009-06-20-0400 Baseline: 2009-06-20-0400 Creator: Build & Deploy Team Username: BClark Schema: N/A Copyright | [Conditions of Use](#) | [Site Requirements](#)

11. Payroll Manage Reports View – By clicking on the Earned Period link in the Work on Existing Payroll Reports panel, the Payroll Report Detail Page is displayed.

Welcome Patrick | Help | Contact Us | CalPERS On-Line | Log Out | August 20, 2008

my|CalPERS

Home | Participant | Business Partner | Reporting | Benefits | Benefit Admin | Admin | Workflow

Manage Reports | Billing & Payment Summary | Payroll Schedule | Service Credit Purchase | Health Reconciliation |

Common Tasks (A)

Menu (V)

UID385

Workflow (V)

Update Work Status

Workflow Monitoring

Case (V)

Case Summary

Notes

Related Parties

Inquiries

Create or Edit Report

Method: * Add Direct Authorization Information [v] [Continue]

Work on Existing Payroll Reports View More Actions >>

Schedule Name	Earned Period	Status	Report Type	Due Date	Submit Date	Trial Report
PERS - Misc	05/10/2007		Payroll-Adjustments			No
PERS - Misc	04/01/2007-04/30/2007	Processing	Supplemental Income Plan- Earned Period	05/30/2007	04/30/2007	No
PERS - Misc	03/01/2007-03/31/2007	Suspended	Payroll-Earned Period	04/30/2007	03/31/2007	No

Direct Authorization Incoming Reports View More Actions >>

Vendor Name	Program	Original Delivery Method	Delivery Date	Business Month	Number of Records Submitted	Number of Records Confirmed
Fire Union	JRSII	SFTP	09/07/2007 09:54:00.000	10/2007	2,600	2,600
Fire Union	JRSII	SFTP	09/07/2007 09:51:00.000	10/2007	2,600	2,598

DA Billing Status View More Actions >>

Bill Vendor	Program	Deduction Type
<input checked="" type="checkbox"/>	JRSII	Health - Fire
<input checked="" type="checkbox"/>	JRSII	Life - Fire

[Save]

DA Billing Information View More Actions >>

Billed	Business Month	Program	Deduction Type	Transaction Count	Total DA Bill
<input checked="" type="checkbox"/>	10/2007	JRSII	Health - Fire	2,598	\$77.94
<input checked="" type="checkbox"/>	10/2007	JRSII	Life - Fire	2,597	\$77.91
<input type="checkbox"/>	09/2007	JRSII	Health - Fire	2,600	\$78.00

[Save Individual Billing Records]

12. Payroll Report Detail Page – On the Payroll Report Detail page, the user will be able to access the records with errors. Errors could be corrected in one of the following ways:

- Download the data as a file that would allow the user to correct the errors through their own internal system. After the errors in the source systems are corrected, the user can submit a new file. Select the type of file to download and click the Download File button.
- Navigate to another screen that lists the detail records in the file for selection and error correction

August 28, 2008 | Help | Contact Us | CalPERS On-Line | Welcome Patrick | Log Out

my|CalPERS

Home | Participant | Business Partner | **Reporting** | Benefits | Admin | Workflow

Context: Manage Reports | Billing and Payments | Payroll Schedule

Name: Burbank Metro Fire
CalPERS ID: 0123456789

Common Tasks: Notes, Reports, Submit Inquiry, Work Initiation, Document History, Document Generation and Distribution

Menu: Search, Adjustment Reports, Preprocessing Area, File Upload History

Report Details

Report Type: Payroll - Earned Period	Earned Period: 01/01/2007-01/31/2007	Report Status: Pending Release
Program: CalPERS	Schedule Name: Dept-A	Test Report: No

Report Statistics

Accept Valid Records

	Records Reported	Records Posted	Unposted Records	Records with Errors
Total	2350	1050	1300	348

Record Statistics

Record Type	Records Reported	Records Posted	Unposted Records	Records with Errors
Payroll	2345	1000	1345	345
Service Credit Purchase	55	50	5	3

Download File

File Type: * ☒ Full File ☐ File with Posted Records only ☐ File with Error Records only

Download File

Process Report | Cancel Report | Generate Report Summary | Generate Missing Payroll | [View Records](#)

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13. Error Review – On this staging page, the user will be able to view the records with errors. Errors could be corrected in one of the following ways:

- For Payroll Contribution records:
 - Select records on the screen to edit
 - Individually by clicking on the SSN field
 - As a group by using the selection boxes and clicking the Edit Selected Records button

This will open a detail screen that can be used to correct the errors manually. This process can be repeated until all the errors are corrected.

- Delete the records by using the selection boxes and clicking the Delete button

my|CalPERS

Home Participant Business Partner Reporting Benefits Admin Workflow

Context: Manage Reports Billing and Payments Payroll Schedule

Name: Burbank Metro Fire
CalPERS ID: 0123456789

Common Tasks: Notes, Reports, Submit Inquiry, Work Initiation, Document History, Document Generation and Distribution

Menu: Search, Adjustment Reports, Preprocessing Area, File Upload History

Report Details

Report Type: Payroll - Earned Period
Program: CalPERS
Earned Period: 01/01/2007-01/31/2007
Schedule Name: Dept-A
Report Status: Pending Release
Test Report: No

Search a Record in the Report

SSN: Last Name:
CalPERS ID:
Record Type: Transaction Type:
Member Category: Division:
Record Status:
Error Message:
Search Clear

Records Present in the Report Add New

Delete Edit Selected Records Process Report Apply Mass Update

Select All	SSN	CalPERS ID	Division	Name	Earned Period	Member Category	Status
<input type="checkbox"/>	XXX-XX-1111	1234567890	Dept -A	Doe, Jahn J.	01/01/2007-01/31/2007	Miscellaneous	Error
<input type="checkbox"/>	XXX-XX-4321	1134567890	Dept -A	Doe, John J.	01/01/2007-01/31/2007	Miscellaneous	Error
<input type="checkbox"/>	XXX-XX-1234	1122567890	Dept -A	Smith, Joe J.	01/01/2007-01/31/2007	Miscellaneous	Error
<input type="checkbox"/>	XXX-XX-1111	1122567811	Dept -A	Smith, Joe J.	01/01/2007-01/31/2007	Miscellaneous	Posted
<input type="checkbox"/>	XXX-XX-1000	1122227890	Dept -A	Wilfred, James P.	01/01/2007-01/31/2007	Miscellaneous	Posted

Showing records 40 - 49 < 1 2 3 4 5 6 7 8 9 10 ... > |>

The error correction screens and processes for Retirement and Health Enrollment interface files are similar and described below.

- For Retirement Enrollment records (on error screen similar to 13):
 - Select records on the screen by clicking on the Name field. This will open other screens that can be used to correct the errors manually. This process can be repeated until all the errors are corrected.
 - Delete records from the file by selecting them using the selection boxes and clicking the Delete button

Note that Retirement Enrollment errors cannot be downloaded as a file.

- For Health Enrollment records (on error screen similar to 13):
 - Select records on the screen by clicking on the Name field. This will open other screens that can be used to correct the errors manually. This process can be repeated until all the errors are corrected.
 - Delete records from the file by selecting them using the selection boxes and clicking the Delete button
 - Download the data from preprocessing as a file that would allow the user to correct the errors through their own internal system. After the errors in the source systems are corrected, the user can submit a new file.

4. PREPARING FOR DEPLOYMENT TO PRODUCTION

As the employer prepares for production deployment, the following should be considered:

- The my|CalPERS deployment is dependent upon many factors. The normal CalPERS-employer communication channels will be used to confirm that CalPERS has completed its deployment into production. It would be best for employers to confirm the my|CalPERS deployment before placing their new systems into production.
- Any new enrollments that occur during the six week period prior to deployment will use a manual process to capture the new CalPERS identifier information normally returned by the interface
- Employers may have to retain a few months of their payroll files during a my|CalPERS cutover period until the production application is rolled out. However, since the seed data will not be available until approximately six weeks prior to deployment, the new files in the XML format cannot be completed until that time. See section 3.1.2, [Data Synchronization](#), for more information. Employers can either:
 - Generate the files only in the existing legacy format for a specific period and then convert them into XML when the seed data is available
 - Generate the files in both existing and XML formats for a specific period and then update the XML files with the seed data when it becomes available
 - Generate the legacy files for a specific period and submit the legacy files at Go Live

Employers should not switch to generating only the XML format during this time.

- The primary SAA information and logon data will be migrated from the file readiness test environment into the production environment for the initially-identified SAA only. However, all other users established by the SAA during the test period will not be migrated and will have to be recreated.

5. HOW TO GET HELP

CalPERS provides the following resources to address employer questions:

1. The most up-to-date information is available at CalPERS On-Line including [Frequently Asked Questions \(FAQs\)](#). Just follow the links for [Employers](#) and [Get Ready for my|CalPERS with PERT](#) and choose the link for the desired information.
2. The [Technical Resources](#) page in the PERT area of CalPERS On-Line includes a document where you will find links to websites that may be helpful in understanding the technologies associated with creating an electronic XML file. These sites include:
 - Products that can be used to analyze an XML file or to convert a flat file to XML format
 - Information to clarify the process for producing an XML document
3. Employers can contact the Employer Contact Center (ERCC) which was established to provide employers with a simpler and convenient way to address their business needs. Employers call one toll-free number **888 CalPERS** (or **888-225-7377**) for all CalPERS business.
4. To reach a PERT representative, send an email to PERT at CalPERS_PERT4U@calpers.ca.gov.

APPENDIX A - OVERVIEW OF GUIDES TO FILE READINESS

In order to assist CalPERS' business partners with their interactions, three separate Guides to File Readiness have been developed.

- my|CalPERS Guide to File Readiness for Employers
- my|CalPERS Guide to File Readiness for Direct Authorization Vendors
- my|CalPERS Guide to File Readiness for Health And Dental Carriers and Associations

Some business partners fit into more than one of these categories. For example, a single business partner can be a direct authorization vendor, an association, and an employer. If your organization falls into multiple categories, it is recommended that you review each of the appropriate guides. The following table identifies which interfaces are described in the guides.

Table 2 - my|CalPERS Interfaces

GUIDE	INTERFACE	INTERFACE DESCRIPTION	INTERFACE DIRECTION	INTERFACE NUMBER
Employers	Payroll Contribution	Used to process payroll transactions	Inbound to my CalPERS	10006
	Employer Payroll Response	Used to correct payroll errors	Outbound from my CalPERS	10049
	Retirement Enrollment	Used to process retirement enrollment transactions	Inbound to my CalPERS	00007
	Health Enrollment	Used to process health enrollment transactions	Inbound to my CalPERS	50031
	Health Enrollment Response	Used to correct health enrollment errors	Outbound from my CalPERS	50068
Direct Authorization Vendors	Receive Direct Authorization Information	Used to process Direct Authorization requests from Business Partners	Inbound to my CalPERS	20016
	Create Deduction Registers for Vendors	Used to send applicable parties information about the monthly deduction taken from retiree benefits on their behalf	Outbound from my CalPERS	20010

GUIDE	INTERFACE	INTERFACE DESCRIPTION	INTERFACE DIRECTION	INTERFACE NUMBER
Health And Dental Carriers and Associations	Zip Code Changes	Used to submit annual files of Postal Zone changes for zip code restricted plans	Inbound to my CalPERS	50024
	Health Enrollment Cancellations	Used to submit enrollment cancellations due to non-payment of COBRA and Direct Pay	Inbound to my CalPERS	50031
	Low Income Subsidy	Carriers and Associations offering a MA-PD plan report the Low Income Subsidy for premium reductions	Inbound to my CalPERS	50076
	Premium And Enrollment Discrepancies	Used to send premium and enrollment discrepancies to CalPERS via online file upload. These files can be in any format such as Excel or Word	Inbound to my CalPERS	Online upload
	Health Enrollment Changes	Carriers and Associations receive daily or full file health enrollment changes (includes demographic changes) via file transfer per the ANSI 834 file format	Outbound from my CalPERS	50043
	Retiree Drug Subsidy	Carriers and Associations participating in RDS with CalPERS receive validated Medicare eligibility data	Outbound from my CalPERS	50029

APPENDIX B - RESPONSIBILITIES BY PHASE

The following table describes employer and CalPERS responsibilities by representative schedule phases. The representative schedule phases for employers preparing to exchange files with CalPERS include the following:

- Discover
- Design
- Develop
- Test
- Deploy

Table 3 – Roles and Responsibilities by Phase

Phase	Responsibility	Success Criteria
Discover	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Understand the interfaces to be used with CalPERS as well as methods for interacting with CalPERS new system <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Share information on interfaces to be used by employer 	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Be able to design internal system changes and extract files for exchange with CalPERS as well as the business processes to interact with CalPERS <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Employer understands CalPERS interface designs
Design	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Design system changes to accommodate data for exchanges and to interact successfully with CalPERS <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Share design information on interfaces to be used by employer; notify employer of design changes 	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Complete designs to ensure mandatory data elements for file exchanges will be available under defined conditions in file format specifications <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Employer is clear on what data is mandatory under which conditions; design changes are communicated as soon as possible

Phase	Responsibility	Success Criteria
Develop	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Implement designed changes to internal systems to allow future file exchanges with CalPERS <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Clarify design questions from employers 	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Changes are implemented and allow the system to operate as intended for exchanging files with CalPERS <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Employers can complete implementation for valid file exchanges
Test	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Test file exchanges with CalPERS to verify operability and error processing requirements <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Provide a test platform and guides for employers to test their interfaces 	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Satisfied that the file exchange is operational and that errors are known and can be corrected <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Provide responses to questions and an operational test platform for use by employers
Deploy	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Deploy system and process changes to operational status when coordinated by CalPERS for production deployment <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Coordinate production deployment timing and conditions with employers 	<p><u>Employer:</u></p> <ul style="list-style-type: none"> Systems and business processes are deployed and operational; file exchanges can continue with CalPERS new system <p><u>CalPERS</u></p> <ul style="list-style-type: none"> Deployment dates and conditions are communicated appropriately to coordinate operational status